

Serial No.

Docket No. 128394-1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Thomas Link Guggenheim et al.

Group Art Unit:

Serial No.:

Examiner:

Filed:

For METHOD FOR MAKING SALTS OF  
HYDROXY-SUBSTITUTED HYDROCARBONS

"EXPRESS MAIL" MAILING  
LABEL NUMBER

EL 807645-926 US

INFORMATION DISCLOSURE STATEMENT

- ☒ 1 **Pursuant to 37CFR 1.97(b)**  
[within 3 months of national, non-CPA filing or prior to 1st Office Action] *no charge*
- ☐ 2 **Certification Pursuant to 37 CFR 1.97(c)(1)**  
[before Final Office Action, Allowance, or other action closing prosecution] *no charge*
- ☐ 3 **Fee Payment Pursuant to 37 CFR 1.97(c)(2)**  
[before Final Office Action, Allowance, or other action closing prosecution] *\$180.00*
- ☐ 4 **Certification & Fee Payment Pursuant to 37 CFR 1.97(d)**  
[On or before issue fee payment] *\$180.00*

ATTN: BOX PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The following are submitted in the above application in compliance with 37 CFR 1.97 and 37 CFR 1.98:

- ☒ 5 A list of documents on form PTO-1449 or Substitute together with copies of each identified document and a translation thereof or a concise explanation of each non-English language document or a Search Report from an International Searching Authority for a patent application filed via the Patent Cooperation Treaty or document(s) cited in the application or the priority application.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date indicated below.

\_\_\_\_\_  
Date of Deposit

\_\_\_\_\_  
Type or Print Name

\_\_\_\_\_  
Signature

This paper is submitted in accordance with:

- ☒ 6 37 CFR 1.97(b): [within 3 months of national, non-CPA filing or prior to 1st Office Action]
- ☐ 7 37 CFR 1.97(c): [before Final Office Action, Allowance, or other action closing prosecution, whichever is earlier]; and
- ☐ 8 The required Certification made in item 11 below; or
- ☐ 9 The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 15 below.
- ☐ 10 37 CFR 1.97(d): [on or before issue fee payment]; and
- a) The required Certification is stated in item 11 below; and
- b) The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.
- ☐ 11 Certification
- ☐ 12 Each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of this Statement; or
- ☐ 13 No item contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this document after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing date of this Statement.
- ☒ 14 Payment of all applicable fees:
- ☒ 15 Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 07-0868


An original and two (2) copies of this document are enclosed.

Respectfully submitted,

August 8, 2003

Date

General Electric Company  
CRD Patent Docket Rm 4A59  
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FORM PTO-1449 (REV. 7-80)			U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE			ATTY. DOCKET NO. 128394-1		SERIAL NO.	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <u><b>LIST OF ITEMS</b></u>						Applicant Thomas Link Guggenheim et al.			
						Filing Date		Group	
<b>U.S. PATENT DOCUMENTS &amp; U.S. PUBLICATION DOCUMENTS</b>									
*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE			
	A1	1,955,080	4/17/34	Mills					
	A2	2,991,273	7/4/61	Hechelhammer et al.					
	A3	2,999,835	9/12/61	Goldberg					
	A4	3,028,365	4/3/62	Schnell et al.					
	A5	3,148,172	9/8/64	Fox					
	A6	3,205,198	9/7/65	Deanin et al.					
	A7	3,247,164	4/19/66	Caldwell					
	A8	3,271,367	9/6/66	Schnell et al.					
	A9	3,271,368	9/6/66	Goldberg et al.					
	A10	3,847,869	11/12/74	Williams					
	A11	3,852,242	12/3/74	White					
	A12	3,879,428	4/22/75	Heath et al.					
	A13	3,960,968	6/1/76	Vernaleken et al.					
	A14	3,974,084	8/10/76	Pietzsch et al.					
	A15	4,093,600	6/6/78	Fan et al.					
	A16	4,108,837	8/22/78	Johnson et al.					
	A17	4,175,175	11/20/79	Johnson et al.					
	A18	4,183,874	1/15/80	Fan et al.					
	A19	4,202,993	5/13/80	Takekoshi					
	A20	4,217,438	8/12/80	Brunelle et al.					
	A21	4,257,953	3/24/81	Williams et al.					
	A22	4,273,712	6/16/81	Williams					
	A23	4,302,616	11/24/81	Williams et al.					
	A24	4,363,892	12/14/82	Shain					
	A25	4,410,735	10/18/83	Dellacoletta et al.					
	A26	4,451,330	5/29/84	Vitner					
	A27	4,492,806	1/8/85	Mendiratta et al.					
	A28	4,520,204	5/28/85	Evans					
	A29	4,546,207	10/8/85	Mendiratta et al.					
	A30	4,740,330	4/26/88	Wang et al.					
	A31	5,068,353	11/26/91	Dellacoletta					
	A32	5,096,991	3/17/92	Kozakai					
	A33	5,157,105	10/20/92	Corley et al.					
	A34	5,194,570	3/16/93	Kohn et al.					
	A35	5,229,482	7/20/93	Brunelle					
	A36	5,242,997	9/7/93	Kohn et al.					
EXAMINER				DATE CONSIDERED					
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant									

FORM PTO-1449  
(REV. 7-80)U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
128394-1

SERIAL NO.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT  
LIST OF ITEMSApplicant  
Thomas Link Guggenheim et al.

Filing Date

Group

## U.S. PATENT DOCUMENTS &amp; U.S. PUBLICATION DOCUMENTS (Continued from Sheet 1 of 2)

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	A37	5,275,758	1/4/94	Wulff et al.		
	A38	5,663,275	9/2/97	Schmidhauser		
	A39	5,830,974	11/3/98	Schmidhauser et al.		
	A40	5,851,837	12/22/98	Stokes et al.		
	A41	5,959,160	9/28/99	Wulff et al.		
	A42	20020037838	3/28/02	Kono et al.		
	A43	20020045715	4/18/02	Takekoshi		
	A44	20020045716	4/18/02	Takekoshi		
	A45	20020049286	4/25/02	Takekoshi		
	A46					
	A47					
	A48					
	A49					
	A50					
	A51					

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO	
	B1	DE2456446 \	8/12/76	Germany				
	B2	DE4129545 \	4/15/93	Germany				
	B3	EP0117459 \	9/5/84	European				
	B4	FR2206760 \	6/7/74	France				
	B5	GB1133561 \	11/13/68	Great Britain				
	B6	GB1414424 \	11/19/75	Great Britain				
	B7	GB1454852 \	11/3/76	Great Britain				
	B8	JP63027448 \	2/5/88	Japan (Abstract)				X
	B9	JP63159332	7/2/88	Japan (Abstract)				X

## OTHER INFORMATION (Including Author, Title, Date, Pertinent Pages, etc.)

	C1	
EXAMINER		DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant